

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371U.S. APPLICATION NO. (If known, see 37 CFR 1.5)  
NOT YET ASSIGNED  
107526096INTERNATIONAL APPLICATION NO.  
PCT/CA2003/001300INTERNATIONAL FILING  
DATE  
26 August 2003PRIORITY DATE CLAIMED  
26 August 2002

## TITLE OF INVENTION

PLANAR WAVEGUIDE GRATING DEVICES HAVING CONTROLLED POLARIZATION  
DEPENDENT SENSITIVITY AND METHOD OF MANUFACTURING THEREOF

## APPLICANT(S) FOR DO/EO/US

BALAKRISHNAN, Ashok; DOSSOU, Kokou; PACKIRISAMY, Muthukumaran

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☒ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A Declaration and Power of Attorney
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information: A marked-up version of the substitute specification

21. The following fees are submitted:

- ☒ a) Basic national fee.....\$300.00
- ☒ b) Examination fee.....\$200.00
- ☒ c) Search fee.....\$500.00

TOTAL OF ABOVE CALCULATIONS = \$1,000.00

- ☐ Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing in an electronic medium). The fee is \$250 for each additional 50 sheets of papers or fraction thereof.

Total Sheets 56 - 100 =          ÷ 50 =          x \$250 = \$           
(round up to whole #)

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

B701 Rec'd PCT/PTC 25 FEB 2005

Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	26 - 20 =	6	x \$50.00	\$300.00	
Independent claims	5 - 3 =	2	x \$200.00	\$400.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$1700.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				+	\$
SUBTOTAL =				\$	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$
TOTAL NATIONAL FEE =				\$1700.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$
TOTAL FEES ENCLOSED =				\$1700.00	
				Amount to be refunded:	\$
				charged:	\$1700.00

- a. ☒ A check in the amount of \$ 1700.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No.          in the amount of \$          to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-1345. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Paul I. J. Fleischut  
Senniger Powers

One Metropolitan Square  
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St. Louis, Missouri 63102

(314) 231-5400  
(314) 231-4342

SIGNATURE

Paul I. J. Fleischut

NAME

35,513

REGISTRATION NUMBER

**FEE TRANSMITTAL**

Application Number NOT YET ASSIGNED  
Filing Date February 25, 2005  
Confirmation No. NOT YET ASSIGNED  
Inventor(s) Ashok Balakrishnan, et al.  
Attorney Docket Number SMBO 6485

Art Unit NOT YET ASSIGNED

10/526096  
DT01 Rec'd PCT/PT 25 FEB 2005

[ ] Applicant claims small entity status.

**METHOD OF PAYMENT**

- [ ] The Commissioner is hereby authorized to charge the indicated fees to Deposit Account No. 19-1345. The Commissioner is hereby authorized to charge any under payment or credit any over payment to Deposit Account No. 19-1345.
- [X] Check Enclosed. The Commissioner is hereby authorized to charge any under payment or credit any over payment to Deposit Account No. 19-1345.

**FEE CALCULATION**

1. [X] BASIC FILING, SEARCH AND EXAMINATION FEES  
(Type: U.S. PCT National) Subtotal (1) \$1000.00
2. [X] EXCESS CLAIM FEES
- |                               |           |   |           |        |          |       |            |   |                 |
|-------------------------------|-----------|---|-----------|--------|----------|-------|------------|---|-----------------|
| Total Claims                  | <u>26</u> | - | <u>20</u> | (HP) = | <u>6</u> | x Fee | <u>50</u>  | = | <u>\$300.00</u> |
| Indep Claims                  | <u>5</u>  | - | <u>3</u>  | (HP) = | <u>2</u> | x Fee | <u>200</u> | = | <u>\$400.00</u> |
| Multiple Dependent Claims Fee |           |   |           |        |          |       |            |   | <u>\$ ---</u>   |
- (HP = highest number of claims paid for)
- Subtotal (2) \$700.00
3. [X] APPLICATION SIZE FEE
- |                          |           |   |     |   |  |   |    |   |  |                       |       |   |           |
|--------------------------|-----------|---|-----|---|--|---|----|---|--|-----------------------|-------|---|-----------|
| Total Pages              | <u>50</u> | - | 100 | = |  | ÷ | 50 | = |  | x                     | \$250 | = | <u>\$</u> |
| (Application + Drawings) |           |   |     |   |  |   |    |   |  | (round up to whole #) |       |   |           |
- Subtotal (3) \$ N/A
4. [ ] OTHER FEE(S)
- |     |  |                                     |
|-----|--|-------------------------------------|
| [ ] |  | month extension of time             |
| [ ] |  | Information disclosure statement    |
| [ ] |  | 37 CFR 1.17(q) processing fee       |
| [ ] |  | Non-English specification           |
| [ ] |  | Notice of Appeal                    |
| [ ] |  | Filing a brief in support of appeal |
| [ ] |  | Request for oral hearing            |
| [ ] |  | Other: _____                        |
- Subtotal (4) \$1700.00

**TOTAL AMOUNT OF PAYMENT** \$1700.00

*Paul I. J. Fleischut*

Paul I. J. Fleischut, Reg. No. 35,513  
Telephone: 314-231-5400

February 25, 2005  
Date

PIF/leb  
Express Mail Label No. EV 455481299 US